August 27, 2020

The Honorable Marco Rubio  
Chairman  
Committee on Small Business and Entrepreneurship  
United States Senate  
Washington, DC 20510

The Honorable Nydia Velazquez  
Chairman  
Committee on Small Business  
U.S. House of Representatives  
Washington, DC 20515

The Honorable Eddie Bernice Johnson  
Chairman  
Committee on Science, Space, and Technology  
U.S. House of Representatives  
Washington, DC 20515

The Honorable Ben Cardin  
Ranking Member  
Committee on Small Business and Entrepreneurship  
United States Senate  
Washington, DC 20510

The Honorable Steve Chabot  
Ranking Member  
Committee on Small Business  
U.S. House of Representatives  
Washington, DC 20515

The Honorable Frank Lucas  
Ranking Member  
Committee on Science, Space, and Technology  
U.S. House of Representatives  
Washington, DC 20515

Dear Chairmen and Ranking Members:

In accordance with section 5143(c) of the National Defense Authorization Act of 2012, I am pleased to forward this report for the U.S. Department of Transportation Office of Inspector General, regarding our efforts to prevent and detect fraud, waste, and abuse in the Small Business Innovative Research (SBIR) and Technology Transfer (STTR) programs. As the act requires, our report includes

- the number of cases referred to the Office of Inspector General concerning fraud, waste, and abuse in SBIR and STTR programs;
- actions taken in each case if fraud, waste, or abuse was found to have occurred;
- a justification when action was not taken; and
- an accounting of funds used to address fraud, waste, or abuse, including a description of personnel and resources, and funds that were recovered or saved.

During fiscal years 2017, 2018, and 2019, we opened one investigation of SBIR/STTR and closed none. This one investigation of fraud, opened in fiscal year 2019, is ongoing, and we will report to you on it once it has been concluded.

If you have any questions, please contact me at (202) 366-1959, or Nathan Richmond, Director of Government and Public Affairs, at (202) 493-0422.

Sincerely,

Howard R. “Skip” Elliott
Acting Inspector General